



Economic and Social Council

Distr.: General
17 March 1998

Original: English

Committee for Programme and Coordination

Thirty-eighth session

1-26 June 1998 (part I)

Item 4 (e) of the provisional agenda*

Programme questions: evaluation

In-depth evaluation of the United Nations Crime Prevention and Criminal Justice Programme

Note by the Secretary-General

In conformity with paragraph 5 (e) (i) of General Assembly resolution 48/218 B of 29 July 1994, the Secretary-General has the honour to transmit the attached report of the Office of Internal Oversight Services on the in-depth evaluation of the United Nations Crime Prevention and Criminal Justice Programme, dated 27 February 1998. The report has been reviewed by the relevant departments, programmes and agencies; the Secretary-General takes note of the findings in the report and concurs with its recommendations.

* E/AC.51/1998/1.



In-depth evaluation of the United Nations Crime Prevention and Criminal Justice Programme

Report of the Office of Internal Oversight Services

Summary

The present report reviews the achievements and problems of the United Nations Crime Prevention and Criminal Justice Programme in (a) servicing intergovernmental meetings; (b) the development of standards and norms; (c) information and clearing house functions; (d) assistance to Governments; and (e) cooperative arrangements with related activities in other organizations of the United Nations system and the institutes, national focal points and intergovernmental and non-governmental organizations of the United Nations Crime Prevention and Criminal Justice Programme network.

Recommendations are made on strategic management, monitoring of standards and norms, registration of Web site users, training in the use of the United Nations Crime and Justice Information Network and related tools, traditional publications, a public information strategy, executing agency status, fund-raising for operational activities, the contribution of the regional commissions and work with partners in the Network.

Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Introduction	1-13	4
A. Background	1-2	4
B. Institutional arrangements	3-8	4
C. Mandate and methodology of the evaluation	9-13	5
II. Substantive activities of the Centre for International Crime Prevention	14-38	6
A. Servicing of intergovernmental meetings	14-16	6
B. Development and promotion of standards and norms	17-20	6
C. Information and dissemination functions	21-29	7
1. Clearing house function	21	7
2. Information dissemination function	22-24	7
3. Hard-copy publications	25-26	8
4. Presence of the Programme in the professional literature	27	8
5. Coverage of the Programme in the media	28-29	8
D. Assistance to Governments	30-37	8
E. Coordination role of the Centre for International Crime Prevention	38	9
III. Substantive activities of the United Nations Interregional Crime and Justice Research Institute	39	10
IV. Cooperation with related activities in other organizations	40-55	11
A. Programmes of the United Nations	40-44	11
1. United Nations International Drug Control Programme	40	11
2. Human rights	41	11
3. Regional commissions	42	11
4. World Bank	43	11
5. United Nations Development Programme	44	11
B. United Nations Crime Prevention and Criminal Justice Programme network	45-55	12
1. Institutes	45-49	12
2. National focal points	50	13
3. Intergovernmental organizations	51	13
4. Non-governmental organizations	52-55	13
V. Conclusions and recommendations	56-77	14

I. Introduction

A. Background

1. Crime prevention has been a concern of the United Nations since its early days. In 1950, the Organization assumed global responsibility in the field by taking over the functions of the International Penal and Penitentiary Commission, an intergovernmental body established in the nineteenth century. The United Nations Crime Prevention and Criminal Justice Programme has been growing since then. More recently, the Programme was reshaped on the basis of the guidelines resulting from both the Ministerial Meeting on the Creation of an Effective United Nations Crime Prevention and Criminal Justice Programme, held in Paris in 1991, which were adopted by the General Assembly in its resolution 46/152 of 18 December 1991, and the Ministerial Conferences on Organized Transnational Crime, held at Naples in 1994, which were adopted by the General Assembly in its resolution 49/159 of 23 December 1994. Numerous subsequent Assembly and Economic and Social Council resolutions have reiterated the Programme's high priority and the importance of providing it with sufficient resources for the full implementation of its mandate (see Assembly resolutions 47/91, 48/103, 49/158, 50/146, 51/63 and 52/90 and Council resolutions 1992/22, 1993/31, 1993/34 and 1994/16). The Programme as it exists today is the culmination of ongoing efforts to improve it in the light of changing conditions in the world.

2. The main characteristics of the Programme, namely, its underlying principles, goals, scope, priorities, structure and management, programme support and funding, were defined in specific terms in paragraph 15 of the annex to General Assembly resolution 46/152, in which it was stated that the Programme should be designed to assist the international community in meeting its pressing needs in the field of crime prevention and criminal justice and to provide countries with timely and practical assistance in dealing with problems of both national and transnational crime. The specific means of action enunciated were (a) research and studies, (b) regular international surveys, (c) exchange and dissemination of information among States, (d) training and upgrading of the skills of criminal justice personnel and (e) technical assistance, including advisory services.

B. Institutional arrangements

3. The main guiding body of the Programme is the Commission on Crime Prevention and Criminal Justice,

which is a functional commission of the Economic and Social Council. The Commission consists of the representatives of 40 Member States of the United Nations, elected by the Council on the basis of the principle of equitable geographical distribution. The General Assembly, in paragraph 24 of the annex to its resolution 46/152, provided that each Member State should make every effort to ensure that its delegation includes experts and senior officials with special training and practical experience in crime prevention and criminal justice, preferably with policy responsibility in the field. The functions of the Commission were set out in paragraph 26 of the annex. The Commission has the power to create ad hoc working groups and to appoint special rapporteurs, as it deems necessary. The Commission holds annual sessions at which it reviews the work of the United Nations Crime Prevention and Criminal Justice Programme. In addition, the Commission holds inter-sessional meetings at which delegations, intergovernmental organizations, non-governmental organizations and the media are briefed on topical crime prevention and criminal justice issues, the work of the Commission itself and that of the Centre for International Crime Prevention.

4. The United Nations Congress on the Prevention of Crime and the Treatment of Offenders, held every five years, is the major global forum for the exchange of views among States, intergovernmental organizations, non-governmental organizations and individual experts representing various professions and disciplines, the exchange of experiences in research, law and policy development and the identification of emerging trends and issues in crime prevention and criminal justice. The Congress serves as a consultative body of the Programme; it provides advice and comments to the Commission on selected matters referred to it by the Commission, as well as suggestions regarding possible subjects for the programme of work. The first Congress was held at Geneva in 1955 and the ninth in Cairo in 1995. Preparations for the tenth Congress are under way. At practically all of the Congresses, specific sets of standards and norms have been discussed and approved.

5. The Centre for International Crime Prevention (formerly the Division for Crime Prevention and Criminal Justice) is the Secretariat component of the United Nations Crime Prevention and Criminal Justice Programme. The Centre is relatively small, with resources from the regular budget of the United Nations (\$5.1 million for the biennium 1996-1997 and \$5.5 million for 1998-1999) and from extrabudgetary funds (\$1.5 million for the biennium 1996-1997 and \$1.6 million for 1998-1999). In addition, under the regular programme of technical cooperation, the appropriation to the Programme was \$938,300 for the

biennium 1996-1997, or 5 per cent of the resources budgeted under that programme.

6. The United Nations Interregional Crime and Justice Research Institute (UNICRI) (formerly the United Nations Research Institute for Social Development) is the United Nations entity that, under the guidance of the Commission on Crime Prevention and Criminal Justice, contributes, through research, training and the exchange of information, to the formulation and implementation of improved policies in the field of crime prevention and criminal justice. UNICRI is governed by a Board of Trustees, appointed by the Secretary-General, which reports to the Economic and Social Council through the Commission. The Institute is relatively small and is funded entirely by voluntary contributions to the United Nations Crime Prevention and Criminal Justice Fund, whose balance as at 31 December 1997 amounted to \$4.9 million.

7. There are related activities in other United Nations programmes. Those programmes, referred to in the medium-term plan for the period 1992-1997,¹ include international drug control, peacekeeping operations, environment, promotion and protection of human rights, international law, statistics and advancement of women. There is also a logical connection between crime prevention and criminal justice issues and those of socio-economic development, seen from both global and regional perspectives. Organizations of the United Nations system are also involved in related activities. The World Bank deals with questions of governance and corruption. The United Nations Development Programme (UNDP) deals with operational activities, which encompass the general functioning of civil society.

8. The other components of the Programme consist of affiliated and associated institutes, national focal points and intergovernmental and non-governmental organizations working actively on international, regional and national aspects of crime prevention and criminal justice, with activities encompassing research, training, technical assistance and dissemination of information. Together with UNICRI, those institutes form the United Nations Crime Prevention and Criminal Justice Programme network.

C. Mandate and methodology of the evaluation

9. At its thirty-sixth session, the Committee for Programme and Coordination, *inter alia*, recommended to the General Assembly that the United Nations Crime Prevention and Criminal Justice Programme be the subject

of an in-depth evaluation and that the report thereon be submitted to the Committee at its thirty-eighth session, in 1998.² In 1997, in a report to the Committee at its thirty-seventh session, the Office of Internal Oversight Services stated the following: "An inspection by the Office of Internal Oversight Services combined with a management audit of the Crime Prevention and Criminal Justice Division will be conducted in 1997. The Committee for Programme and Coordination may wish to consider replacing the evaluation of the Crime Prevention and Criminal Justice Programme with that of another programme" (E/AC.51/1997/4, para. 6). The Committee, however, decided to retain the recommendation it had made at its thirty-sixth session. The Central Evaluation Unit of the Office of Internal Oversight Services has conducted the in-depth evaluation as requested. It has taken the work of the Central Monitoring and Inspection Unit into account and has tried not to duplicate it. The report of the Office of Internal Oversight Services on the review of programme management in the Crime Prevention and Criminal Justice Division (now the Centre for International Crime Prevention) has been submitted to the General Assembly (A/52/777).

10. The in-depth evaluation followed standard procedures used by the Central Evaluation Unit, which in essence involves taking stock of available information, including assessments, seeking the views of the main stakeholders of the Programme (representatives of Member States, staff members of the Centre for International Crime Prevention and staff of the other components of the United Nations Crime Prevention and Criminal Justice Programme network: intergovernmental organizations, non-governmental organizations, United Nations entities contributing directly to the Programme and affiliated or associated institutes) on factors that have a bearing on the efficiency and effectiveness of the Programme.

11. A systematic review of the documentation of the Commission on Crime Prevention and Criminal Justice, the Economic and Social Council and the General Assembly was undertaken with a view to identifying programmatic concerns that have been identified by delegations and on which there appears to be general agreement. The review of the documentation was supplemented by structured interviews. Delegations attending the inter-sessional meeting of the Commission, which was held at Vienna in October 1997, were briefed on the objectives of the in-depth evaluation and were invited by the Chairman of the Commission to submit written comments on areas of concern to them to the Central Evaluation Unit of the Office of Internal Oversight Services. In addition, the meeting of members of the Bureau of the Commission reviewing

preparations for the work of the Commission at its inter-sessional meeting was used as a focus group to explore various issues.

12. The views of the staff members of the Centre for International Crime Prevention were obtained through a survey questionnaire; the survey was complemented by selected structured interviews. United Nations entities with related activities, institutes and intergovernmental and non-governmental organizations that interact actively with the Programme were invited to provide written observations to the Central Evaluation Unit.

13. A survey of the professional literature was undertaken through searches on the Internet, the Social Science Citation Index and a survey of scholars. A survey of information in the NEXIS database was undertaken to assess the degree to which the activities of the Programme were being covered by the media. Additional information was obtained through an analysis of statistics related to production, distribution and sale of publications; a review of evaluation questionnaires filled out by trainees was also carried out.

II. Substantive activities of the Centre for International Crime Prevention

A. Servicing of intergovernmental meetings

14. The General Assembly, in paragraph 21 of the annex to its resolution 46/152, enunciated specific criteria to be used in determining programme priorities and, in paragraph 22, stated that the Commission on Crime Prevention and Criminal Justice should not be bound by mandates conferred prior to its formation, but should assess them on their merits by applying the principles mentioned in paragraph 21.

15. In the report of the Secretary-General on the strategic management of the United Nations Crime Prevention and Criminal Justice Programme (E/CN.15/1996/22), it was noted that the heavy reporting requirements involved in servicing the Commission competed with the implementation of other mandates and operational activities. Thus, one of the issues identified for careful analysis was the need to achieve a better balance between parliamentary services and the implementation of other mandates, including support to operational activities (para. 57). The Commission had agreed to exercise restraint in recommending new mandates in order to enable the implementation of existing ones to be completed (para. 92 (e)).

16. The focus group of delegations stated that the Commission was undertaking a significant effort aimed at

streamlining its work, reducing its reporting requirements and staggering its consideration of agenda items. Some delegations were of the view that an attempt should be made by the Commission to set priority areas requiring attention rather than expecting the Programme to deal with the enormous range of subject areas identified over the years. The priority areas should be consistent with the resources expected to be available; it should not be expected that resources would be available for all subject areas dealt with by the Commission over the years.

B. Development and promotion of standards and norms

17. Since its establishment, the Programme has developed a large number of standards, norms, model treaties and guidelines. These represent internationally agreed-upon principles of desirable practice, on the basis of which Governments can assess their own systems and develop national legislation to promote the rule of law; the principles also serve as a basis for bilateral and multilateral cooperation to combat national and transnational forms of crime. This achievement of the Programme under its normative role is the basis of the recent shift in emphasis from standard setting to a concentration securing a more systematic application of existing standards and norms through monitoring and technical assistance. An evaluation by a group of experts in the context of the Meeting of Experts for the Evaluation of Implementation of United Nations Norms and Guidelines in Crime Prevention and Criminal Justice (E/CN.15/1992/4/Add.4) recognized that, while the implementation of United Nations standards and norms was the responsibility of Governments, there was a collective responsibility of the international community to ensure that United Nations standards and norms, once adopted, were implemented.

18. As mandated by the Economic and Social Council and the General Assembly, the Centre for International Crime Prevention conducts periodic surveys to find the extent of application of the following sets of standards: (a) Standard Minimum Rules for the Treatment of Prisoners; (b) Code of Conduct for Law Enforcement Officials, including the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials; (c) Declaration of Basic Principles of Justice for Victims of Crime and Abuse of Power; and (d) Basic Principles on the Independence of the Judiciary. The results of the surveys are conveyed to the Commission, the Economic and Social Council and the General Assembly. The response from Member States has varied over time, with

the trend pointing to an increase in the number of countries responding to the first three sets of principles and a decrease for the fourth set of principles. In completing the questionnaires, countries identify achievements and shortcomings in various areas. One of the aims of the United Nations in monitoring the use and application of standards in the field of crime prevention and criminal justice is to assist States in overcoming obstacles that might exist in implementation.

19. The following is a list of other sets of principles that are periodically surveyed by the Centre: United Nations Standard Minimum Rules for the Administration of Juvenile Justice (The Beijing Rules); United Nations Guidelines for the Prevention of Juvenile Delinquency (The Riyadh Rules); United Nations Rules for the Protection of Juveniles Deprived of their Liberty; United Nations Standard Minimum Rules for Non-custodial Measures (The Tokyo Rules); and Principles on the Effective Prevention and Investigation of Extra-legal, Arbitrary and Summary Executions. The following model treaties are not monitored: Model Agreement on the Transfer of Foreign Prisoners; Model Treaty on the Transfer of Supervision of Offenders Conditionally Sentenced or Conditionally Released; Model Treaty on Extradition; and Model Treaty on the Transfer of Proceedings in Criminal Matters.

20. Some delegations raised the question of too many demands for information. Furthermore, there is often a lack of response; reports that are produced with significant gaps in information are considered to be of limited value. Several delegations also pointed out that the reports produced by the Centre tended at times to be a mere compilation of the replies received, with limited substantive analysis, making them less useful than they could be. In the face of such heavy reporting requirements, the Commission has stated that attention should be devoted to developing more efficient ways and means of promoting and monitoring the use of United Nations standards and norms in the field of crime prevention and criminal justice.

C. Information and dissemination functions

1. Clearing house function

21. The United Nations On-line Crime and Justice Clearing House (UNOJUST) was developed by the National Institute of Justice, one of the institutes associated with the United Nations Crime Prevention and Criminal Justice Programme. UNOJUST is an Internet-based vehicle that provides information about the activities of the affiliated and associated institutes of the Programme, including the results

of their research. It is thus possible for the institutes to share information among themselves and to pool together information about their activities and share such information with the broad group of users covered by the Internet that are interested in crime prevention and criminal justice matters. The UNOJUST programme includes initial technical support and training so that designated representatives of the institutes can serve as Internet information managers for their respective organizations beyond the start-up period.

2. Information dissemination function

22. The United Nations Crime and Justice Information Network (UNCJIN) was created in response to Economic and Social Council resolution 1986/11 of 21 May 1986. In that resolution, the Council, *inter alia*, invited the Secretary-General to make all efforts to establish a global crime and criminal justice information network, with the then Crime Prevention and Criminal Justice Branch of the Secretariat as its focal point in cooperation with the affiliated institutes and other entities concerned, with a mechanism for gathering inputs from non-governmental organizations and scientific institutions. UNCJIN was established in 1988 and now provides Internet access to crime prevention and criminal justice information generated by research, surveys, standards and norms and training and operational activities of the Centre for International Crime Prevention.

23. Delegations agree that UNCJIN serves a useful purpose in disseminating criminal justice information on a wide basis. Delegations from developing countries were apprehensive that developing countries might not be benefiting from UNCJIN as much as possible and requested that consideration be given to using United Nations offices in the developing countries where there was such need as a gateway to UNCJIN, with appropriate briefing and training of local officials dealing with crime prevention and criminal justice matters.

24. Discussion with the staff members responsible for UNCJIN showed that UNCJIN did not have information on its users and the use they made of the Network and that there was no formal mechanism for securing feedback of users. A registration procedure would make it possible to generate information about the number of users, the region they were from, the most used features of the site, sections downloaded and high and low points of usage during the week. Such information would be available both for management and oversight purposes on an ongoing basis. At the request of the evaluation team, the Centre undertook an effort to extract basic information from the general user statistics files of the University of Vienna, host of the UNCJIN site. The results

show that UNCJIN is being accessed by an impressive number of users; during the period January to November 1997, there were 133,225 "hits" concentrating on the home page, the crime statistics page and the country information and profiles page.

3. Hard-copy publications

25. The Centre for International Crime Prevention produces and distributes a variety of publications. Delegations stated that traditional publications continue to have their importance despite the fact that publications are increasingly being made available in electronic form on UNCJIN. Staff members of the Centre agreed that a readership survey undertaken periodically for each publication could help to enhance the relevance and usefulness of the Centre's publications.

26. Structured interviews and on-site analyses of records show that in addition to the distribution of reports and publications through the usual channels, the Centre responds well to ad hoc requests for reports and publications coming from all parts of the world. The main clients are from training institutions.

4. Presence of the Programme in the professional literature

27. Analysis of the criminal justice abstracts and a database maintained by the Dag Hammarskjöld Library provided evidence of the presence of the work of the United Nations Crime Prevention and Criminal Justice Programme in the professional literature on the subject. However, the Centre does not have a procedure in place whereby it could ensure that its publications and those of its partners are reviewed systematically by less specialized professional journals in the social sciences. Such a procedure could enhance the visibility, credibility and use of the work of the Programme.

Table 1
Presence of selected United Nations programmes in the social science professional literature

	Articles in the Dag Hammarskjöld Library CATFILE database, 1980-1997		
	Total number on topic	Of which number with references to United Nations programme	Percentage
Crime prevention	186	4	2.2
Human rights	4 156	563	13.5
Drug control	253	20	7.9

5. Coverage of the Programme in the media

28. Coverage of the work of the Programme in the media is not as extensive as is that of comparable United Nations programmes.

Table 2

Coverage of selected United Nations programmes in wire services stories

Key phrase	Percentage of wire service stories with the key phrase and at least one reference to the United Nations	
	1996	1997
Crime prevention	8.3	14.0
Human rights	17.6	20.3
Drug control	25.3	35.0

Source: NEXIS database.

29. The Centre does not have a public information strategy; such a strategy could help make the achievements of the Programme more visible, and perhaps help to attract additional funding.

D. Assistance to Governments

30. Technical assistance is provided by the Centre through both the regular programme of technical assistance and voluntary contributions from a variety of sources. The United Nations Crime Prevention and Criminal Justice Fund was established in 1967, pursuant to Economic and Social Council resolution 1086 of 30 July 1965. It is included in the annual United Nations pledging conference for development activities in line with General Assembly decision 34/440 of 17 December 1979. Donations to the Fund are made either as a general contribution to serve overall assistance needs or as earmarked funds for specific projects or programme activities. The Fund has remained at approximately \$1 million for the past three bienniums.

31. Operational activities undertaken by the Centre have been largely for training. In the report of the Secretary-General on the subject, it is noted that a recurrent motif is the need for training, and requests for different kinds and levels of training have been multiplying. Intensified and more widespread efforts are urgently required to build the cadres needed to upgrade national and local capacities, and to impart a broader perspective necessary for dealing with new transnational crime forms and ramifications, including jurisdictional issues and reciprocal arrangements (A/50/432,

para. 30). The degree to which the Programme can respond to the needs of Member States will depend largely on the operational capacity of the Programme to render the necessary aid. Some steps in this direction have been taken, but much more is clearly required if the chasm between the needs in this field and the international response is, if not bridged, then at least reduced (A/50/432, para. 22, referred to in A/51/327, para. 80). To address this problem, the Commission, in its resolution 5/2 on technical cooperation and interregional advisory services in crime prevention and criminal justice, requested the Secretary-General to "explore with Member States the establishment of a mechanism for resource mobilization and coordination of activities in the area of technical assistance".³ The Commission, in its resolution 5/3 on strategic management by the Commission of the United Nations Crime Prevention and Criminal Justice Programme, decided to "exercise more vigorously its mandated functions of resource mobilization and, for this purpose, to establish an informal consultative group".³

32. Some delegations were of the view that the Centre tried to embrace too many areas and thus spread too thin its very limited resources. They stated that setting priorities might be an answer until there was an increase in the volume of resources and a strengthening of the operational capacity of the Centre. Some delegations were of the view that the Centre could do more in joint ventures with other partners (intergovernmental organizations, non-governmental organizations and other United Nations entities).

33. There is a need for the Centre to engage in a more active dialogue with donors to address their apprehensions, which are causing "the continued resistance of aid agencies and potential donor countries to funding activities in criminal justice" (A/51/327, para. 61). Some delegations stated that they could not fund projects that were controversial in nature and against the policies of their Governments.

34. Some delegations observed that the training activities of the Centre were too widespread and not sufficiently focused to make a difference. The Centre has made limited use of the training of trainers strategy, while recognizing its potential.

35. Delegations pointed out that there were several non-governmental organizations that were active in operational activities concerning crime prevention and criminal justice and expressed the wish that the Centre would reach out to those non-governmental organizations and try to work in cooperation with them. In that respect, the representative of a non-governmental organization commented to the evaluation team that there was considerable scope for the

more coherent organization of non-governmental organizations in technical assistance programmes. The representative noted that United Nations resources might be under more and more pressure, but a partnership approach was already paying dividends and should be extended.

36. The Centre routinely requests participants in its various training activities to fill out a questionnaire at the end of the training event. The Centre has not analysed the completed evaluation questionnaires and thus is not utilizing the results of those evaluations to improve its subsequent training activities. An analysis by the Central Evaluation Unit of a sample of questionnaire responses shows that the training activities were considered useful and that some problems were experienced with their administrative and logistical aspects. The Centre has not routinely undertaken follow-up evaluations to determine the impact of the training on national systems of crime prevention and criminal justice.

37. A survey of staff members of the Centre in the Professional category shows that they spend a substantial amount of time dealing with administrative matters relating to operational activities. From a follow-up discussion, it would appear that the administrative support being provided by the United Nations Office at Vienna often falls short of the requirements of the Centre, leaving the staff members of the Centre with no choice but to become involved in ensuring that proper administrative arrangements were being made to support the Centre's activities, in particular training activities being carried out in the field.

E. Coordination role of the Centre for International Crime Prevention

38. A survey of staff members of the Centre in the Professional category was undertaken on the catalytic role played by the Centre. The staff members were asked to fill out a questionnaire listing the main services provided by the United Nations Crime Prevention and Criminal Justice Programme to Governments and the specific partners involved and to rate the contribution of the partners to the various services. The responses indicate that some partners were contributing more than others and that the potential contribution of the partners was not being fully tapped. There was no uniform way of dealing with the partners. In general, staff members from the Centre agreed that the partners could play a more important role in technical assistance projects and training provided to Governments. The following additional pertinent observations were made:

(a) Each partner's role should be defined from the planning stage;

(b) The institutes should be encouraged to gear their work towards more substantial contributions to the implementation of the Centre's mandates;

(c) There should be more joint projects and publications;

(d) Although coordination and cooperation have been enhanced in the past few years, much still needs to be done to develop a comprehensive network of systematic relationships; the aim should not be restricted to coordination, but should extend to establishing effective partnerships.

III. Substantive activities of the United Nations Interregional Crime and Justice Research Institute

39. UNICRI conducts research activities geared towards analysis of policy options and experiences thereof in an international comparative perspective. It places special emphasis on transnational organized crime, promotion of comparative international criminal justice databases/information systems and strengthening of international and national analytical research and monitoring capacities on structures and trends of crime and criminal justice. At the request of Member States, the results of the Institute's research are used as the basis for designing and testing model training and technical cooperation activities at the international, regional, subregional and national levels. UNICRI has convened several international conferences, seminars and workshops related to its major research projects. It has also organized research workshops and panels within the framework of the United Nations Congresses on the Prevention of Crime and the Treatment of Offenders, as well as of the congresses of major international professional associations. UNICRI organizes the annual coordination meetings of the United Nations Crime Prevention and Criminal Justice Programme network. In many of the above-mentioned activities, UNICRI cooperates closely with other organizations of the United Nations system (the regional commissions, the United Nations International Drug Control Programme, the Office of the United Nations High Commissioner for Human Rights, the United Nations Children's Fund (UNICEF), the United Nations Development Programme (UNDP), the International Labour Organization (ILO), the United Nations Educational, Scientific and Cultural Organization

(UNESCO), the World Health Organization (WHO)), as well as with other international and regional organizations. UNICRI provides documentation and information services through both traditional means and advanced telecommunication technology. The Institute's library collection, a unique feature of the United Nations Crime Prevention and Criminal Justice Programme, includes specialized literature, statistical data and international and national documents, as well as approximately 400 specialized periodicals from over 100 countries. Its catalogue (updated on a weekly basis) can be consulted on-line at the UNICRI Web site. UNICRI also plays a central role in UNOJUST in administering the funds donated by Member States for its development and in providing the relevant technical support to the members of the Programme network. In addition, the Institute's Web master contributes to the implementation of UNOJUST activities through technical assistance in Internet capacity-building and Internet-related documentation systems for UNOJUST members through the development of training programmes and materials, as well as of appropriate formats and software. UNICRI regularly publishes (directly or, in a few cases, through commercial publishers) monographs as well as a series of executive summaries related to its projects. To date, UNICRI has published 71 monographs. These publications are distributed free to selected institutions in the developing countries and sold through the United Nations sales services and commercial networks. Electronic versions of all the issues of the more recent series, as well as a few selected monographs, are also available on-line at the UNICRI Web site. UNICRI has also published articles and reports in leading international and national research journals. The Institute's publications are available in major national and university libraries throughout the world. Regular reports on the activities of UNICRI are published by a few specialized international research journals and most of its publications have been reviewed in international journals. The *International Organizations* volume of the *International Encyclopedia of Law* contains a chapter devoted to UNICRI.

IV. Cooperation with related activities in other organizations

A. Programmes of the United Nations

1. United Nations International Drug Control Programme

40. Until the adoption of the reform proposals of the Secretary-General by the General Assembly, the United Nations International Drug Control Programme operated separately from the United Nations Crime Prevention and Criminal Justice Programme, but reported to a common head. Under the reform proposals of the Secretary-General (A/51/950, paras. 143-145), endorsed by the Assembly, the two Programmes would be grouped under one common umbrella and cooperation between them facilitated. Delegations interviewed at Vienna by the Central Evaluation Unit indicated that they would prefer that the two Programmes maintain their distinct identity while cooperating more closely.

2. Human rights

41. The Office of the United Nations High Commissioner for Human Rights regularly furnishes the Centre for International Crime Prevention with reports of the Secretary-General, thematic working groups and special rapporteurs on issues relating to enforced or involuntary disappearances, extra-legal, arbitrary and summary executions, the independence of the judiciary, the right to a fair trial, the role of law in the protection of the environment, violence against women and children, and illegal trafficking, as well as on standard-setting activities. Those reports and other contributions by the Office have been used in the preparation of reports and notes by the Centre submitted for consideration by the Commission on Crime Prevention and Criminal Justice. The technical cooperation arm of the Office has cooperated with the Centre in carrying out operational activities in areas of joint interest, such as human rights in the administration of justice and human rights and law enforcement, ranging from needs assessment missions to the conduct of training activities. Staff in both the Office and the Centre stated that closer cooperation could be possible. It should be noted that the Human Rights Committee considers country reports that include sections on the promotion and protection of human rights in the administration of justice.

3. Regional commissions

42. The United Nations Crime Prevention and Criminal Justice Programme also includes a regional adviser for Asia and the Pacific based at the Economic and Social Commission for Asia and the Pacific (ESCAP), whose post is funded by extrabudgetary resources. Significant substantive contributions are being made under this arrangement. It is noted that in the \$30 million allocated to the regional commissions under the regular programme of technical cooperation, there is no provision for work on crime prevention and criminal justice. Attention should also be drawn to the institutional support provided by the Economic Commission for Africa (ECA) to the United Nations African Institute for the Prevention of Crime and the Treatment of Offenders (UNAFRI). Section 16 of the proposed programme budget for the biennium 1998-1999 contains a provision of \$204,800 for that purpose.⁴ ECA has been closely involved with UNAFRI since the Institute's establishment, in recognition of the importance of the issues dealt with by UNAFRI and the felt need of the African countries.

4. World Bank

43. The World Bank recognizes the strong linkage that exists between development and the rule of law and the importance of effective justice systems. "Within the efforts aimed at promoting good governance, the World Bank has focused considerable attention and activities on judicial reform programmes" (E/CN.15/1997/17, para. 13). The area of crime prevention and criminal justice is generally outside the mandate of the Bank and hence the Bank does not make direct contributions to the work of the Centre. Most prominent among the areas of common concern is the area of corruption.

5. United Nations Development Programme

44. Crime prevention falls within the framework of the UNDP governance programme. UNDP is interested in developing its cooperation with the Centre, foreseeing an expansion of UNDP-supported activities in crime prevention. The Centre's work on anti-corruption may also provide scope for cooperation within the framework of the UNDP programme for accountability. Some UNDP country programmes specifically include crime prevention and criminal justice reform and judicial training (A/50/432, para. 26). Over the past year, a significant new partnership has been forged with UNDP through an exchange of letters between the Director-General of the United Nations Office at Vienna and the Administrator of UNDP. An important

measure of the new partnership was the signing of a memorandum of understanding with the UNDP Regional Bureau for Europe and the Commonwealth of Independent States, which provides, *inter alia*, for joint needs assessment missions and joint fund-raising for projects and activities in the area of crime prevention and criminal justice. Pursuant to the memorandum, the Centre will provide technical assistance and advisory services and substantive expertise in crime prevention and criminal justice, in particular in organized crime control, in combating corruption, in the implementation of judicial reform and in the improvement of correctional services (E/CN.15/1997/17, paras. 72 and 73).

B. United Nations Crime Prevention and Criminal Justice Programme network

1. Institutes

45. In its annual report for 1996/97, the International Centre for Criminal Law Reform and Criminal Justice Policy observed that, because the Programme's network of institutes is largely decentralized and includes the contribution of a significant number of organizations acting cooperatively but independently with a shared commitment to the same general objective, it provides perhaps a unique model for concerted and effective action, while allowing diversity and reflecting regional priorities and concerns.

46. The institutes are funded by voluntary contributions from Governments, including their host Governments. The institutes associated or affiliated with the Programme include the following:

- (a) United Nations Asia and Far East Institute for the Prevention of Crime and the Treatment of Offenders, Tokyo;
- (b) United Nations Latin American Institute for the Prevention of Crime and the Treatment of Offenders, San José, Costa Rica;
- (c) European Institute for Crime Prevention and Control affiliated with the United Nations, Helsinki;
- (d) United Nations African Institute for the Prevention of Crime and the Treatment of Offenders, Kampala;
- (e) Naif Arab Academy for Security Sciences, Riyadh;
- (f) Australian Institute of Criminology, Canberra;
- (g) International Centre for Criminal Law Reform and Criminal Justice Policy, Vancouver, Canada;
- (h) International Institute of Higher Studies in Criminal Sciences, Siracusa, Italy;
- (i) National Institute of Justice, Washington, D.C.;
- (j) Raoul Wallenberg Institute of Human Rights and Humanitarian Law, Lund, Sweden;
- (k) International Scientific and Professional Advisory Council, Milan, Italy;
- (l) International Centre for the Prevention of Crime, Montreal, Canada.

47. UNAFRI is the only institute that receives a limited contribution from the regular budget of the United Nations. All of the institutes are operating under financial constraints owing to reduced resource bases and/or an uncertain financial situation. In the case of UNAFRI, although its financial difficulties have always been serious, they have now reached a critical level (E/CN.15/1996/22, para. 34). The programme of UNAFRI is designed to sensitize Member States to the most pressing needs in crime prevention and criminal justice and to identify new strategies to confront transnational crime.

48. The Economic and Social Council, in its resolution 1994/23 of 25 July 1994, annex, section V, called for the periodic review and evaluation of affiliated institutes and centres. One recent assessment concluded that "the Division [Centre] is conscious of the need to be more involved in the planning phase of the work programmes of the institutes if its role as coordinator is to be meaningful and if the institutes' affiliation or association with the United Nations is to be more substantive than formal in nature" (E/CN.15/1996/22, para. 35). The institutes provide the Centre with elements for an annual report on their achievements. In discussion with the Central Evaluation Unit, the Bureau of the Commission on Crime Prevention and Criminal Justice stated that reporting by the institutes was somewhat mechanical.

49. Coordination meetings of the institutes are organized annually and information is shared about one another's activities. However, more could be done to enhance programmatic complementarity. UNICRI recently agreed to serve as the research arm of the Programme. If that works out, some of the Centre's resources currently devoted to research could be shifted to operational activities.

2. National focal points

50. The General Assembly, in its resolution 46/152, established a system of national correspondents as one of the elements of the United Nations Crime Prevention and Criminal Justice Programme network. The national correspondents were expected to facilitate contact with the Secretariat on matters of legal, scientific and technical cooperation, training, information on national laws and regulations, legal policy, the organization of the criminal justice system, crime prevention measures and penitentiary matters. In a recent assessment, the Commission found that "the performance and contribution of the national correspondents vary and are limited by a lack of seed money to facilitate their activities, which they carry out on a voluntary basis. Proposals for holding regular meetings of the correspondents have been rejected for lack of means. As a result of the restructuring of the programme and the concomitant greater direct involvement of Governments in its direction, the status of the national correspondents has changed" (E/CN.15/1996/22, para. 45). The Commission decided to abolish the system of national correspondents and to institute a new system consisting of government focal points in each Member State.

3. Intergovernmental organizations

51. The following intergovernmental organizations cooperate actively with the United Nations Crime Prevention and Criminal Justice Programme: Agency for Francophonie, Commonwealth Secretariat, Council of Europe, Customs Cooperation Council (World Customs Organization), European Police Organization, European Union, International Criminal Police Organization, Financial Action Task Force, Organization of African Unity and Organization of American States. Those organizations generally attend the meetings of the Commission and the Congresses. Several within the framework of the United Nations Crime Prevention and Criminal Justice Programme network and with the Centre and affiliated institutes as well.

4. Non-governmental organizations

52. A large number of non-governmental organizations attend the meetings of the Commission. The most important contribution to the Programme comes from the Alliance of Non-Governmental Organizations on Crime Prevention and Criminal Justice and its members. The Alliance was formed in 1972. It is a coalition of international non-governmental organizations that have consultative status with the Economic and Social Council. Its members include the following: Academy of Criminal Justice Sciences, Amnesty

International, Howard League for Penal Reform, International Association of Chiefs of Police, International Association of Judges, International Association of Juvenile and Family Court Magistrates, International Association of Penal Law, International Community Corrections Association, International Commission of Jurists, International Council on Alcohol and Addictions, International Narcotic Enforcement Officers Association, International Prisoners Aid Association, International Society for Crime Prevention, International Society for Criminology, International Society of Social Defence, Junior Chamber International, Prison Fellowship International, Salvation Army, Third World Movement against the Exploitation of Women, World Federation for Mental Health and World Psychiatric Association.

53. The Alliance also has several observer members. The Alliance has two branches, one in New York and the other in Vienna. The objectives of the Alliance are to facilitate planning for international policy in crime prevention and criminal justice by providing an institutionalized two-way conduit of information and consultation between the Secretariat and the international non-governmental organization community, to assist the United Nations in the identification of issues, provision of research studies, recommendations for action and technical assistance in specific areas of interest to the Alliance, and to strengthen the collective services of the Alliance through the exchange of information and cooperation among member organizations regarding programmes, research projects, publications and other matters of mutual interest.

54. The Alliance has contributed to some of the landmark achievements of the Programme. *inter alia*, it conceived and implemented an international research project on children in prison with their mothers, it contributed to the elaboration of the recommendations on the treatment of foreign prisoners and it assisted in drafting guidelines for alternatives to prison, in preparation for the eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders. The Alliance has set up an information centre that both coordinates the surveys developed by individual working parties and responds to requests for assistance and/or information from individuals and countries around the world.

55. Important substantive contributions are made by the International Scientific and Professional Advisory Council, which serves as a focal point for input to the Programme from non-governmental organizations and academic and professional institutions active in the field. About 60 per cent of the United Nations Crime Prevention and Criminal Justice Fund is provided by the Government of Italy and, pursuant to a standing arrangement with the Government, 50 per cent

of its annual contribution is used to support the activities of the Council.

V. Conclusions and recommendations

56. *Resources.* Limited staff resources are overextended in an attempt to respond to the demands of the intergovernmental bodies and the needs of Governments for technical assistance. Attention has been drawn to the fact that the resources devoted to the Programme, both from regular and extrabudgetary sources, are not commensurate with the mandates entrusted to the Centre.

57. *Commission on Crime Prevention and Criminal Justice.* The Commission is one of the few United Nations intergovernmental bodies exercising strategic management, including inter-sessional supervision, over a programme. The Commission is aware of the problem of multiplicity of mandates and is working on streamlining mandates and establishing priorities in order to bring about a more realistic relationship between mandates and available resources. The Commission is also aware of the need to strengthen its role in resource mobilization and has started to address that issue.

58. *Servicing of legislative bodies.* Substantive servicing is making a heavy demand on the limited resources of the Centre. Such servicing includes regular briefings of missions and inter-sessional briefings to assess strategic management by the Commission.

59. *Congresses.* The Congresses have been useful as a forum for the interchange of ideas benefiting all countries. A substantial number of recommendations have been formulated over the years but, while follow-up has taken place, the extent of implementation has been inadequate.

Recommendation 1, Strategic management. To facilitate the strategic management of the Programme, the Centre should develop proposals on the manner in which the implementation of existing and additional mandates are to be integrated into the Programme and present them to the Commission at its eighth session, in 1999.

60. *Use and application of standards and norms.* Intergovernmental bodies have made it clear that standard-setting should continue but should be more limited. There is no adequate system for monitoring the use and application of existing standards and norms. While some representatives of Member States consider that there are too many demands for information, there is a poor response to monitoring requests and, as a result, some of the reports produced are not as comprehensive or analytical as they could be. A

streamlining of reporting requirements would seem to be needed.

Recommendation 2, Monitoring of standards and norms. The Centre should present to the Commission at its eighth session proposals to improve the monitoring of the use and application by Member States of the United Nations standards and norms in crime prevention and criminal justice.

61. *United Nations On-line Crime and Justice Clearinghouse.* Significant efforts have been made to develop UNOJUST as a service to affiliated and associated institutes and thus assist them in undertaking their functions.

62. *United Nations Crime and Justice Information Network.* UNCJIN is now a fully developed electronic instrument for the dissemination of a comprehensive range of information on crime prevention and criminal justice and is widely used. Efforts could now be made to refine some of the features of UNCJIN to meet the specific needs of its users. Also, a built-in feedback system could help UNCJIN to continue to improve itself. Developing countries face obstacles in their use of UNCJIN because of the lack of training of crime prevention and criminal justice personnel in using electronic tools such as UNCJIN. Many of them also lack the necessary hardware and software.

Recommendation 3, Registration of Web site users. A registration procedure should be introduced by 30 September 1998 for all Centre Web sites. The procedure should permit the Centre to obtain information on the affiliation of users, the geographic region from which the inquiry is coming, the nature of their interests and the information accessed. The information on users and their interests obtained in this way should be analysed every six months and discussed by senior management.

Recommendation 4, Training in the use of UNCJIN and related tools. The Centre should develop a training package for trainers from developing countries to facilitate the use by such countries of UNCJIN and UNOJUST and other electronic databases on crime prevention and criminal justice.

63. *Usefulness of traditional publications.* Traditional publications continue to have their importance despite the fact that publications are increasingly being made available in electronic format on UNCJIN.

64. *Distribution of publications.* In addition to distribution through the usual channels, the Centre responds well to ad hoc requests for publications by other programmes and organizations.

65. *The Programme in the professional literature.* The reports and studies undertaken in the context of the Programme are reflected in the professional literature on crime prevention and criminal justice which also deals with the multifaceted aspects of the Programme.

66. *The Programme in the media.* The work of the Commission receives media attention. Coverage of the various activities of the Centre has not received sufficient attention. A public information strategy is needed to help make the Programme more visible and enhance support.

Recommendation 5, Review of traditional publications. An analysis of sales data, a focus group discussion among representatives of major user groups and, if possible, a readership survey should be conducted to assess the continuing usefulness of all hard-copy publications of the Centre.

Recommendation 6, Public information strategy. The Centre, with the cooperation of the Department of Public Information should elaborate a public information strategy, with a view to making the Programme more visible in the media.

67. *Operational activities.* Since 1992, there has been a major shift in the emphasis of the Programme from a normative role, to an operational role, as requested by Member States. Demands coming from developed countries, developing countries and countries in transition continue to increase and the Centre is not always able to respond fully to the various demands. The expectations of Governments concerning operational activities are thus not being fully met. Cooperation with UNDP has been expanding but needs to be based on a stronger partnership, utilizing both the substantive and the operational capacity of the Programme. It has been found difficult to develop a strategy and priority setting for operational activities. Central support servicing by the United Nations Office at Vienna is not as responsive as is needed and an undue proportion of the time of the staff of the Centre has to be devoted to support matters.

Recommendation 7, Executing agency status. The Centre should seek executing agency status with UNDP so that Member States can include projects in crime prevention and criminal justice in their country programmes. Once the Centre has such status, appropriate information should be provided to Member States and development agencies on the contribution that operational activities in crime prevention and criminal justice make to development.

68. *Training.* Evaluation undertaken at the end of training projects shows that such activities are considered useful.

Since training is driven by requests received from Governments and by the priorities of donors, it has been found difficult to develop a coherent strategy and priority setting in training. The limited efforts made to use the training of trainers approach have been successful.

Recommendation 8, Training. (a) The Centre should concentrate its training activities on two categories of persons: policy makers likely to bring about policy changes in their countries, and trainers likely to generate a multiplier effect to the training provided. (b) Attempts should be made to conduct follow-up evaluations six months to a year after the training activities have been completed to assess the impact of such training on improving national crime prevention and criminal justice systems.

69. *Fund-raising.* To date, there is no fund-raising strategy for operational activities.

Recommendation 9, Fund-raising for operational activities. The Centre should develop proposals for a fund-raising strategy and present them to the Commission at its eighth session.

70. *Synergy between the United Nations Interregional Crime and Justice Research Institute and the Centre.* Efforts are under way to improve the synergy between UNICRI and the Centre, taking into account the comparative advantages of each.

71. *Synergy between the United Nations Crime Prevention and Criminal Justice Programme and the United Nations International Drug Control Programme.* Efforts have been made and are continuing to be made to improve the synergy between the two Programmes. Bringing the two Programmes under one central management system should also contribute to enhancing cooperation. Delegations prefer that the two Programmes maintain their distinct nature, while working more closely together.

72. *Cooperation with other United Nations entities, including the regional commissions.* Collaboration with the Office of the United Nations High Commissioner for Human Rights could be expanded, particularly with respect to monitoring the use and application of crime prevention and criminal justice standards and norms, elaboration of training tools and technical cooperation activities. As the experience of ESCAP has shown, the regional commissions can provide certain types of services to their membership if extrabudgetary resources are available for that purpose. Despite the inherent uncertainty of such contributions, extrabudgetary resources alone have sustained the work of ESCAP in the field of crime prevention and criminal justice.

Recommendation 10, Regional commissions. The Centre should explore the possibility of cooperation with the regional commissions on the basis of the limited but successful experience so far.

73. *Working with partners.* The United Nations Crime Prevention and Criminal Justice Programme exercises substantial leverage through the Programme network. Coordination consists of sharing information on the activities undertaken by each of the partners.

Recommendation 11, Information sharing with partners. Information sharing is now mostly *ex post* but should be *ex ante* as well to make it possible for partners to undertake joint ventures, where appropriate.

74. *Cooperation with affiliated and associated institutes.* The affiliated and associated institutes make considerable contributions to the Programme, individually and as a network. Nonetheless, the potential for more joint ventures has not been fully explored.

Recommendation 12, Institutes. The Centre should consult with affiliated and associated institutes in order to generate proposals to enhance partnerships, develop complementarities and strengthen the coordination role of the Centre.

75. *National focal points.* The system of voluntary national correspondents did not work as expected and has recently been replaced by a system of focal points in Governments.

Recommendation 13, Focal points. The Centre should present to the Commission at its eighth session proposals on how Governments can best utilize the new mechanism of focal points.

76. *Cooperation with intergovernmental organizations.* Several intergovernmental organizations are active in the area of crime prevention and criminal justice. Collaboration of the Centre with such organizations could be intensified, particularly in joint ventures for operational activities.

Recommendation 14, Intergovernmental organizations. The Centre should consult with intergovernmental organizations active in the area of crime prevention and criminal justice in order to develop proposals for closer cooperation, particularly in operational activities.

77. *Cooperation with non-governmental organizations.* Cooperation with non-governmental organizations has been extensive. However, opportunities for joint ventures with such organizations for operational activities and for fund-raising have not been explored as systematically as possible.

Some non-governmental organizations that attend the meetings of the Commission and other related intergovernmental bodies have stated that they are not provided with adequate support services.

Recommendation 15, Non-governmental organizations. The Centre should consult with non-governmental organizations active in the area of crime prevention and criminal justice, including the International Scientific and Professional Advisory Council, in order to clarify the roles that non-governmental organizations could play in the implementation of the Programme and agree on a division of labour, thus leading to a greater involvement of non-governmental organizations in the Programme.

Recommendation 16, Priorities and the needs of client groups. The Centre should identify the needs of its client groups and derive from this analysis a strategy for setting priorities and reconciling different needs.

Recommendation 17, Submission of the report to the Commission. The present report, together with the conclusions and recommendations of the Committee for Programme and Coordination thereon, should be submitted to the Commission on Crime Prevention and Criminal Justice, at its eighth session, for consideration and action.

(Signed) Karl Th. **Paschke**
Under-Secretary-General
for Internal Oversight Services

Notes

¹ See *Official Records of the General Assembly, Forty-fifth Session, Supplement No. 6 (A/45/6/Rev.1)*.

² *Ibid.*, *Fifty-first Session, Supplement No. 16 (A/51/16)*, part I, para. 55.

³ See *Official Records of the Economic and Social Council, 1996, Supplement No. 10 (E/1996/30)*, chap. I, sect. D.

⁴ *Official Records of the General Assembly, Fifty-second Session, Supplement No. 6 (A/52/6/Rev.1 and Add.1)*, para. 16A.39.